NOAA Records Schedules

Chapter 2300

General Information Technology Management Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. System data or information content, must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this schedule, NOAA must separately schedule that file or system by submitting an SF 115 to NARA.

If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, the records must be retained for the longest retention period authorized for those items.

Contents

Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
2300-01	**Information Technology Development Project Records.**	**Infrastructure project records.** Information Technology (IT) infrastructure, systems, and services project records document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes requirements for and implementation of functions such as: • maintaining network servers, desktop computers, and other hardware, • installing and upgrading network operating systems and shared applications, and • providing data telecommunications; and infrastructure development and maintenance such as acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting. Includes records such as: • installation and testing records • installation reviews and briefings • quality assurance and security review • requirements specifications	DAA-GRS-2013-0005-0006 (GRS 3.1, item 010)	**TEMPORARY.** Destroy when 5 years old or when no longer needed for current agency business.

		• technology refresh plans • operational support plans • test plans models, diagrams, schematics, and technical documentation. **Exclusion**: Records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of a records schedule to NARA. *Note: Records concerning the development of each information technology (IT) system and software application are covered under the item for System Development Records.*		
2300-02	System Development Records.	These records relate to the development of information technology (IT) systems and software applications through their initial stages up until hand-off to production which includes planning, requirements analysis, design, verification and testing, procurement, and installation. Records include case files containing documentation of planning, decision making, designing, programming, testing, evaluation, and problem solving. Includes records such as: Project plans, feasibility studies, cost analyses, requirements documents, compliance documents including: Privacy Threshold Analyses (PTAs), Privacy Impact Assessments (PIAs), Security Plan, and Information Protection Plan; change control records, Project Schedule, Plan of Action and Milestones (POA&M), Configuration Management Plan, Resource Management Pan, Risk Assessment/Mitigation Plan, Security Plan, Disaster Recovery Plan, Test/Acceptance Plan, Quality Control Plan, Deployment Guide, User Guide, and Training Guide.	DAA-GRS-2013-0005-0007 (GRS 3.1, item 011)	**TEMPORARY.** Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.

		Exclusion: This item does not apply to system data or content. **Note 1**: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, use the GRS item Documentation Necessary for Preservation of Permanent Electronic Records.		
2300-03	Special Purpose Computer Programs and Applications.	Computer software programs or applications that are developed by the agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule. **Exclusion 1**: This item does not include software or applications necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives. **Exclusion 2**: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission- related function. ***Note:** Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period to comply with 36 CFR Sections 1236.10, 1236.12, 1236.14, and 1236.20.*	DAA-GRS-2013-0005-0008 (GRS 3.1, item 012)	**TEMPORARY.** Delete when related master file or database has been deleted, but longer retention is authorized if required for business use.

| 2300-04 | Information Technology Operations and Maintenance Records. | Information Technology Operations and Maintenance records relate to the activities associated with the operations and maintenance of the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Includes the activities associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure.

Includes records such as:
• files identifying IT facilities and sites
• files concerning implementation of IT facility and site management
• equipment support services provided to specific sites:
  o reviews
  o site visit reports
  o trouble reports
  equipment service histories
  o reports of follow-up actions
  o related correspondence
• inventories of IT assets, network circuits, and building or circuitry diagrams
• equipment control systems such as databases of barcodes affixed to IT physical assets, and tracking of [approved] personally-owned devices
• requests for service
• work orders
• service histories
• workload schedules
• run reports
• schedules of maintenance and support activities | DAA-GRS-2013-0005-0004 (GRS 3.1, item 020) | **TEMPORARY.** Destroy 3 years after agreement, control measures, procedures, project, activity, or transaction is obsolete, completed, terminated or superseded, but longer retention is authorized if required for business use. |

| | | problem reports and related decision documents relating to the software infrastructure of the network or system reports of operations measures of benchmarks performance indicators critical success factors error and exception reporting self-assessments performance monitoring management reports website administration frames templates style sheets site maps codes that determine site architecture change requests site posting logs clearance records requests for correction of incorrect links or content posted requests for removal of duplicate information user logs search engine logs audit logs records to allocate charges and track payment for software and services
Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records. | | |

		Note 2: Records needed to support contracts should be in procurement files, which are scheduled under the GRS for General Financial Management Records.		
2300-05	Configuration and Change Management Records.	*Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes records such as:* • *data and detailed reports on implementation of systems, applications and modifications* • *application sizing, resource and demand management records* • *documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes* • *documentation of software distribution (including COTS software license management files) and release or version management* **Note 1**: *If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records.* **Note 2**: *Per NARA practice, documentation for permanent electronic records should be transferred with the related records using the disposition authority for*	DAA-GRS-2013-0005-0005 (GRS 3.1, item 030)	**TEMPORARY.** Destroy 5 years after system is superseded by a new iteration, or is terminated, defunded, or no longer needed for agency/IT administrative purposes, but longer retention is authorized if required for business use.

		the related electronic records rather than the GRS disposition authority.		
2300-06	Information Technology Oversight and Compliance Records.	Information Technology (IT) Oversight and Compliance records relate to compliance with IT policies, directives, and plans. Records are typically found in offices with agency-wide or bureau-wide responsibility for managing IT operations. Includes records such as: • recurring and special reports • responses to findings and recommendations • reports of follow-up activities • statistical performance data • metrics • inventory of web activity • web use statistics • comments/feedback from web site or application users • internal and external reporting for compliance requirements relating to the Privacy Act, and electronic and Information technology accessibility under Section 508 of the Rehabilitation Act • system availability reports • target IT architecture reports • systems development lifecycle handbooks • computer network assessments and follow-up documentation • vulnerability assessment reports • assessment and authorization of equipment • Independent Verification and Validation (IV&V) reports • contractor evaluation reports • quality assurance reviews and reports • market analyses and performance surveys	DAA-GRS-2013-0005-0010 (GRS 3.1, item 040)	**TEMPORARY.** Destroy 5 years after the project/activity/ transaction is completed or superseded, but longer retention is authorized if required for business use.

		- benefit-cost analyses - make vs. buy analysis - reports on implementation of plans - compliance reviews - data measuring or estimating impact and compliance *Note: Copies of security plans are scheduled under the GRS for Information Security Records. There may be copies interfiled within this series.*		
2300-07	Data Administration Records.	Data Administration includes maintenance of data standards, corporate data models, registries, and data definitions and dictionaries. Records relate to administrative support for the maintenance of data standards, data definitions and data dictionaries. This schedule includes records that explain the meaning, purpose, logical relationships, and use and origin of data. It also includes any documentation related to electronic records, whether the records are part of an electronic system or stand-alone, that allows a user to understand or access the information.		
		a. Documentation Necessary for Preservation of Permanent Electronic Records. Data administration records and documentation relating to electronic records scheduled as permanent in the GRS or in a NARA-approved agency schedule must be transferred to the National Archives to allow for continued access to the records, including: - data/database dictionary records - record layouts	DAA-GRS-2013-0005-0002 (GRS 3.1, item 050)	**PERMANENT.** Transfer to the National Archives with the permanent electronic records to which the documentation relates.

		• data systems specifications • file specifications • code books • output specifications **Note 1**: Per NARA practice, documentation for permanent electronic records must be transferred with the related records using the disposition authority for the related electronic records rather than the GRS disposition authority. **Note 2**: Agencies may retain a copy of documentation related to permanent electronic records. This copy may be destroyed at any time after the transfer request has been signed by the National Archives.	• metadata • user guides		
		All documentation for temporary electronic records and documentation not necessary for preservation of permanent records. Data administration records and documentation relating to electronic records that are scheduled as temporary in the GRS or in a NARA-approved agency schedule or any types of data administration records not listed as permanent in item DAA-GRS-2013-0005-0002, including • data/database dictionary records • record layouts • data systems specifications • metadata • file specifications • user guides • code books • output specifications and also the following records for all electronic records whether scheduled as temporary or permanent	DAA-GRS-2013-0005-0003 (GRS 3.1, item 051)	**TEMPORARY.** Destroy 5 years after the project/activity/ transaction is completed or superseded, or the associated system is terminated, or the associated data is migrated to a successor system, but longer retention is authorized if

		- software operating manuals - data standards - table and dependency descriptions - taxonomies - schemas - registries - source code - physical data model logical data model		required for business use